NAVAIR INSTRUCTION 5400.122A

From: Commander, Naval Air Systems Command

Subj: PROCEDURES FOR EFFECTING FUNCTIONAL TRANSFERS, ORGANIZATIONAL CHANGES, BUDGET AND PERSONNEL TRANSFERS, FOR THE NAVAL AVIATION SYSTEMS TEAM

Ref: (a) NAVCOMPT Manual Volume 7, Paragraph 075004

Encl: (1) (Joint)Memorandum Of Agreement Contents
(2) (Joint)Memorandum of Agreement Development
(3) (Joint)Memorandum of Agreement Implementation
(4) Organization Change Proposal Sheet
(5) Transfer Flowcharts
(6) Instructions for the Preparation of the NC4 Functional Transfer Exhibit
(7) Foreign Military Sales Emergent Position Establishment and Tracking Flowchart

1. <u>Purpose</u>. To establish procedures for effecting functional transfers, organizational changes, budget and personnel transfers for the Naval Aviation Systems TEAM and between the Naval Air Systems Command and other agencies. Enclosures (1) through (6) provide detailed guidance in accomplishing these changes. Enclosure (7) is included to show the effect of Foreign Military Sales (FMS) billets on the Civilian Manpower Plan (CMP).

2. <u>Cancellation</u>. This instruction cancels NAVAIRINST 5400.122 of 5 Oct 87. Since it is a major revision, changes are not indicated.

3. <u>Discussion</u>. Due to the nature of the Competency Aligned Organization personnel transfers, budget and organization changes, Foreign Military Sales billets allocations that were once considered innocuous at a site, now could impact the entire TEAM. The process to effect these changes must be a well coordinated effort. The determination must be made to determine whether the change is an intra or intercompetency change, an interagency change or a budget based change. When personnel transfers are made several changes need to be made to existing NAVAIR products. They are the Civilian Manpower Plan,

the Supply and Demand Data Base, occasionally the Organizational Breakdown Structure, On-Board and High Grade reports, the Civilian Manpower Budget, and the appropriation budgets (e.g. Operations and Maintenance, Navy (O&MN), Aircraft procurement, Navy (APN) and Research, Development, Test and Evaluation (RDT&E).

(a) The Civilian Manpower Plan is a tool used to track TEAM manpower and provides end-strength targets by competency and site. Major updates are done once a year in the first quarter of the calendar year. Minor updates are done monthly by processes enclosed in this instruction.

(b) The Supply and Demand database contains all TEAM civilian and military personnel showing their competency and teaming data. Major updates are made the fifteenth of February and August each year. Changes may by made daily by authorized personnel via a NAVWAN 4th Dimension database system using either an IBM compatible or Macintosh computer.

(c) The Organizational Breakdown Structure is the official TEAM organizational structure that shows the eight competencies. Changes are made by utilizing this instruction. This structure should be used to formulate organizational codes that are found in the Defense Civilian Personnel Data System and the Supply and Demand database.

(d) The TEAM On-board report is the actual number of civilians by site reported once a month. The TEAM High Grade reports are the actual number of high grade personnel reported by competency the fifteenth and thirtieth of every month.

(e) An intracompetency change is one that occurs within the competency. This change is approved by the competency leader and could be accomplished by using enclosure (4) with AIR-7.0's concurrence.

(f) An intercompetency change is one that occurs between two competencies. This requires the approval from the competency leaders involved with the transfer and AIR-7.0's concurrence. An intercompetency change between sites also requires coordination with the appropriate Area Commander/Business Unit.
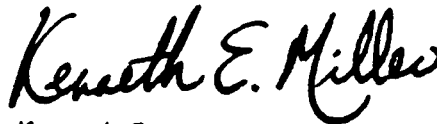
(g) An interagency transfer is one that occurs between the Naval Air Systems Command and another agency in accordance with reference (a). This requires the coordination mentioned above in addition to signatures from both agency Commanders. In addition, an NC4 exhibit must be filled out in accordance with enclosure (6) and submitted to AIR-7.6.

(h) A budget based change is a transfer of funding from one account to another. As mentioned above in paragraph (g) and NC4 exhibit must be submitted if the transfer is external to the Command.

(i) In almost all cases a Standard Form 52 must be initiated to formally make the personnel change. The gaining office/site administration office has the responsibility to effect these changes.

4. <u>Procedures</u>. AIR-7.1 will be the focal point for all TEAM organizational and Civilian Manpower Plan changes. A memorandum of agreement should be generated by the gaining office when there is an intercompetency/site transfer and a Joint Memorandum of Agreement when the transfer is between the Naval Air Systems Command and other agencies. Enclosure (5) details the process to effect the changes.

5. <u>Responsibilities</u>. AIR-7.1 will assist in the development and implementation of all transfers. Competency leaders will coordinate TEAM organizational changes and functional transfers with AIR-7.1.

Kenneth E. Miller
Assistant Commander for
Corporate Operations

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(JOINT)MEMORANDUM OF AGREEMENT CONTENTS

1. <u>Format</u>. The (Joint) Memorandum of Agreement should contain a cover sheet written as a memorandum or letter with the point of contact and sign by the responsible parties.

1. <u>Background</u>. Provide any information pertinent to the transfer for example, objective and functions to be transferred.

2. <u>Issues</u>. Identify any issues that need to be addressed before the transfer can be accomplished.

3. <u>Civilian Manpower Plan</u>. Identify any changes to the Civilian Manpower Plan.

4. <u>Proposed Organizational Structure</u>. Use enclosure (4) to show Organizational Breakdown Structure (OBS) number, title , also to show competency leader concurrence if the changes are minor. A formal signature sheet should be used when there is an interagency transfer.

5. <u>Personnel/Billets Involved</u>. Identify End Strength (ES), Full-Time Equivalent (FTE) and Foreign Military Sales (FMS), and any high grade implications. Identify their name, grade/rank, current/proposed UIC and Organization Code.

6. <u>Funding Issues</u>. Identify all funding issues such as appropriation, training, supplies, and travel, etc.

7. <u>Other</u>. Areas not addressed above, (e.g. program transfers, equipment, security, contracts, and contractor services).

(JOINT)MEMORANDUM OF AGREEMENT DEVELOPMENT

1. <u>Program Definition</u>. The gaining Competency/program office will prepare the (Joint)Memorandum of Agreement.

2. <u>(Joint)Memorandum of Agreement Coordinator</u> The Strategic Management Resource Support Department (AIR-7.1) will act as the coordinator.

3. <u>Budget Resources</u>. The Comptroller (AIR-7.6) will assist in identifying all budgeted resources.

4. <u>Civilian Manpower</u>. The Human Resources Division (AIR-7.3.1) in will assist in identifying any personnel civilian issues.

5. <u>Military Manpower</u>. The Total Force Management Division (AIR-7.3.2) will identify appropriate military manpower issues.

6. <u>Space and Office Equipment</u>. The Administrative Services and Processes Division (AIR-7.2.5) will be the point of contact for all property issues.

7. <u>Information Systems</u>. All information systems requirements will be identified by the Information Management Department (AIR-7.2).

8. <u>Security</u>. All security issues will be identified by the Security Department (AIR-7.4).

9. <u>Counsel</u>. All legal and ethics issues should be identified by the Counsel Department (AIR-7.7).

10. <u>Contracts</u>. The Assistant Commander for Contracts (AIR-2.0) will identify associated contracts.

(JOINT)MEMORANDUM OF AGREEMENT IMPLEMENTATION

1. The TEAM administrative office will:

   a. Ensure that the (J)MOA is signed by all applicable members, including AIR-00 if (J)MOA, after routing through AIR- 7.1/7.2/7.3/7.4/7.6/7.7.

   b. Make appropriate changes to the Supply and Demand data base through the 4th Dimension Client network connection.

   c. Prepare and submit personnel actions (Standard Form 52, Request of Personnel Action) for any gains or losses.

   d. Submit NC4 exhibit to AIR-7.6 by utilizing enclosure (6).

2. Strategic Management Resource Division (AIR-7.1.1) will:

   a. Make changes to Civilian Manpower Plan.
   b. Make changes to Supply and Demand Data Base for OBS changes.
   c. Make changes to High-grade report.
   d. Make changes to TEAM Organizational Breakdown Structure.
   e. Make changes to HRO Reference File.
   f. Publish letter detailing Organizational Changes.

3. Human Resources Department (AIR-7.3) will:

   a. If necessary, submit an Fact and Justification to the Chief of Naval Operations for approval of civilian transfers. (50 or more)
   b. Take action on civilian and military personnel issues.

4. The Comptroller (AIR-7.6) will:

   a. Ensure the transfer of prior and current year funds.
   b. Effect budget base transfers of out year funding and civilian manpower resources.
   c. Ensure adjustment to contractor support services budget authority.
   d. Submit NC4 exhibit to NAVCOMPT if necessary.

5. <u>Space and Office Equipment</u>. The Administrative Services and Processes Division (AIR-7.2.5) will be the point of contact for all property issues.

6. <u>Information Systems</u>. All information systems requirements will be identified by the Information Management Department (AIR-7.2).

7. <u>Counsel</u>. All legal and ethics issues should be identified by the Counsel Department (AIR-7.7).

8. <u>Security</u>. The Security Department (AIR-7.4) will determine if there any special security requirements.

Organization Change Proposal Sheet

Please provide the proposed change on a 3.5" diskette in a Microsoft Word format. If the change is minor then a hard copy will be acceptable.

Type of change: (check one) Add _____ Delete _____ Modify _____

Point of Contact:_____ Phone#_____

Reason for Change: _____
_____
_____
_____

Organizational Breakdown Structure Level Effected:

Number	Title
_____	_____
_____	_____
_____	_____
_____	_____

Approval:

_____	_____	_____	_____
1.0 C.L.	2.0 C.L.	3.0 C.L.	4.0 C.L.

_____	_____	_____	_____
5.0 C.L.	6.0 C.L.	7.0 C.L.	8.0 C.L.

TRANSFER FLOWCHARTS

INTRA-COMPETENCY

```
                                              ( Personnel
                                                Reassignment )
   ( TEAM OBS      Letter with                       |
     Change )      Organization Change               |
        |          Proposal Sheet                    |
        |          (Encl 4)                     < High
 +--------------+                                 Grade     Y
 | Competency   |                              Implications? >----+
 | Adminstrative|                                    |            |
 | Office       |                                    | N          |
 +--------------+                               +------------+    |
        |                                       | AIR-7.1.1  |  - High Grades
 +--------------+                               | Notified   |    Adjusted
 | AIR-7.1.1    |                               +------------+
 | Coordination |                                    |            |
 +--------------+                                    |            |
        |                                       < Transfer   Y    |
 +--------------+                                 to another >----+
 | Competency   |                                   site >        |
 | Leader       |                                    |            |
 | Approval or  |                                    | N          |
 | Designee     |                          +--------------+  +------------------+
 +--------------+                          | Competency   |  | * Gaining        |
        |                                  | Adminstrative|  | Competency's     |
 +--------------+                          | Office       |  | Administration   |
 | AIR-7.0      |                          +--------------+  | Office prepares  |
 | Concurrence  |                                 |          | MOA              |
 +--------------+                                 |          +------------------+
        |                                  +--------------+         |
 +--------------+ - TEAM Organizational    | Competency   |  +------------+
 | AIR-7.1.1    |   Breakdown Structure    | Prepares and |  | AIR-7.1.1  |
 | Implementation|  Updated                | Submits SF-52s| | Coordinate |
 +--------------+ - Supply and Demand Data | to respective|  +------------+
        |          base Updated            | HRO          |         |
        |        - HRO Reference File      +--------------+  +------------+
        |          Change                         |          | Route thru |
        |                                  +--------------+  | AIR-       |  - Civilian Manpower
   < Personnel  N                          | Supply and   |  | 7.1/7.3/7.6|    Plan Updated
     Reassignments >-----( END )           | Demand data  |  +------------+
        ?                                  | base update  |         |
        |                                  +--------------+  +------------+
        | Y                                                  | Competencies|
        |                                                    | Prepare and |
        +----------------------------------------------------| Submit SF-52s to|
                                                             | respective HROs|
                                                             +------------+
                                                                    |
                                                             +------------+
                                                             | Competency |
                                                             | Updates Supply|
                                                             | and Demand |
                                                             | data base  |
                                                             +------------+
```

INTER-COMPETENCY TRANSFER

```
┌─────────────────┐   Letter with
│   Personnel     │   Organization Change
│  Reassignment   │   Proposal Sheet
│   /OBS Change   │   (Encl 4)
└─────────────────┘
         │
┌─────────────────┐                    ┌─────────────────┐
│    Gaining      │                    │                 │
│   Competency    │ - - - - - - - - -  │     Losing      │
│    Initiates    │  (Coordination)    │   Competency    │
│      MOA        │                    │                 │
└─────────────────┘                    └─────────────────┘
         │
      ◇ Transfer ◇   Y    ┌─────────────────┐
      ◇   to     ◇────────│ * Coordination  │
      ◇ another  ◇        │     with        │
      ◇  site ?  ◇        │ Area Commander/ │
         ◇              │  Business Unit  │
         │ N             └─────────────────┘
         │                        │
┌─────────────────┐               │
│   AIR-7.1.1     │───────────────┘
│  Coordination   │
└─────────────────┘
         │
┌─────────────────┐
│  Route thru     │
│  appropriate    │
│    AIR-7.0      │
│     codes       │
└─────────────────┘
         │
┌─────────────────┐
│    Signed/      │
│  Coordinated    │
│      MOA        │
└─────────────────┘
         │
┌─────────────────┐
│    AIR-7.0      │
│  Concurrence    │
└─────────────────┘
         │
┌─────────────────┐
│   AIR-7.1.1     │
│ Implementation  │
└─────────────────┘
         │
┌─────────────────┐
│   Competency    │
│  Prepares and   │
│ Submits SF-52s  │
│ to respective   │
│      HRO        │
└─────────────────┘
         │
┌─────────────────┐
│   Supply and    │
│  Demand data    │
│  base update    │
└─────────────────┘
```

- TEAM Organizational Breakdown
  Structure updated
- Civilian Manpower Plan updated
- On-board and High Grades Updated
- Budget Information updated
- HRO Reference File Change

INTER-AGENCY TRANSFER

```
                    ╭───────────╮
                    │   Inter   │
                    │   Agency  │
                    │  Transfer │
                    ╰─────┬─────╯
             ┌────────────┴────────────┐
      ┌──────┴──────┐           ┌───────┴──────┐
      │   Gaining   │           │    Losing    │
      │   Agency    │           │    Agency    │
      └──────┬──────┘           └───────┬──────┘
             └────────────┬─────────────┘
                   ┌──────┴──────┐
                   │ *Competency/│
                   │   Agency    │
                   │  prepares   │
                   │    JMOA     │
                   └──────┬──────┘
                   ┌──────┴──────┐
                   │   NAVAIR    │
                   │ Competency/ │
                   │    7.1      │
                   │ Coordination│
                   └──────┬──────┘
                   ┌──────┴──────┐
                   │ Route thru  │
                   │ appropriate │
                   │AIR-7.0 codes│
                   └──────┬──────┘
                   ┌──────┴──────┐
                   │   Signed/   │
                   │ Coordinated │
                   │    JMOA     │
                   └──────┬──────┘
                   ┌──────┴──────┐
                   │   AIR-00    │
                   │  Approval   │
                   └──────┬──────┘
                   ┌──────┴──────┐
                   │   AIR-7.0   │
                   │Implementation│
                   │after signed │
                   │copy of JMOA │
                   └──────┬──────┘
                   ┌──────┴──────┐
                   │Competencies │
                   │Prepares and │
                   │ Submits SF- │
                   │    52s      │
                   └──────┬──────┘
                   ┌──────┴──────┐
                   │ Competency  │
                   │  Updates    │
                   │ Supply and  │
                   │Demand data  │
                   │    base     │
                   └─────────────┘
```

- Civilian Manpower Plan updated
- Supply and Demand data base updated
- On-board and High grades adjusted
- Budget information updated
- OBS updated
- NC4 exhibit submitted if necessary

* In addition to **program transfer information**
there must be coordination between NAVAIR, the other
agency, and AIR-7.0 concerning the following:
- Personnel Actions (Civilian and Military)
- Budget transfers
- High grades
- Property transfers
- Information Systems and ADP Equipment
- Ethics/Conflicts of Interest
- Any other pertinant information

Encl (5)

*INSTRUCTIONS FOR THE PREPARATION OF
EXHIBIT NC-4
FUNCTIONAL TRANSFERS

Purpose: To provide supporting data inter appropriation and intra appropriation functional transfers.

Submission: Exhibit NC-4 is required for the NAVCOMPT submission.

Instructions: The Functional Transfer exhibit NC-4 is to be submitted as part of the Special Interest Book submitted by each BSO. All proposed inter and intra appropriation functional transfers must be fully coordinated and agreed offices are responsible for ensuring agreement on all funding, military and/or civilian end-strength, and budget activity/line item distributions (including outyears).

Issue numbers for proposed functional transfers will be centrally managed by NAVCOMPT (NCBE-2). The gaining BSO will be responsible for working with NCBG-21 to obtain issue numbers. All affected BSOs will use this issue numbers in the hard copy NC-4 exhibit included in the Special Interest Book and in the separate automated submission for functional transfers. The point of contact for functional transfer issue numbers is Mr. Robin Farley (DSN 225-3227 or (703) 695-3277).

Proposed transfers which involve Program Executive Officer/Direct Reporting Program Manager (PEO/DRPM) resources must be included in the NC-4 exhibit and the separated automated submission for functional transfers of the BSO assigned budget formulation responsibility for the PEO/DRPM.

Resources associated with proposed functional transfers are tentative until approved via a NAVCOMPT mark and should not be included in the detailed justification of estimates. All functional transfer data will be entered into the Navy Budget Tracking System (NBTS) as a part of a separate automated submission. Automated submissions for functional transfers are the same as the NBTS updates which are contained in Appendix L of this manual.

* This was reprinted from NAVCOMPTINST 7102.2C of 1 May 1995

EXHIBIT NC-4
FUNCTIONAL TRANSFER

Issue#	Title	From/ to	APPN	BA	BLI	E/S	Pers Type	D/R	FY	Civpers ($000)	Total ($000)

Instructions:

Issue #: To be issued by NAVCOMPT in accordance with guidance. Gaining command (Budget submitting office is assigned lead coordination responsibility. The issues number is also required in the functional transfer automated submission.

Title: Descriptive title, as mutually agreed to by Budget Submitting Offices (BSO's) affected by the transfer.

APPN: Appropriation identification, as applicable. List each appropriation separately.

BA: Budget Activity. List each budget activity separately.

BLI: Budget Line Item identification as follows.
O&M - Budget Line Item or Activity Group code.
Procurement - Line item.
RDT&E - include program element/project.
Milcon - include project, location.
Family Housing - include project, location.
Defense Business Operating Fund - include business area, activity.

E/S: End Strength.

WY: Civilian Workyears.

Pers Type: Military (identify Officer/Enlisted). Civilian (identify type hire).

D/R: Direct/Reimbursable.

FY: Fiscal Year (as applicable).

Civpers ($000): Civilian Personnel related funding only.

Total ($000): Total funding, including Civpers dollars.

Note: Specific appropriation coding structure for data elements listed above, are contained in the Navy Budget Tracking System (NBTS) Budget Titles and Coding Structures Handbook.

FMS EMERGENT POSITION ESTABLISHMENT AND TRACKING

Case/Program Manager Identifies IPT Staff Requirements and Program Funds

Can existing resources be utilized? **Y**

PEO/CAO Assigns Personnel

N

PEO/CAO Develops and Classifies PD

Case Manager's Memo Identifies Funds

PD Routed for Approval Thru PEO/ AIR Group Chain of Command

Approved Package (PD, SF52, Justification and CM/PM Approval) is forwarded to AIR-1.4 for Approval

AIR-1.4 Approval ?   **N**

Y

N

AIR-7.1 Approval ?

Y

AIR-7.1 Updates Civilian Manpower Plan End Strength Targets

Is Position a CAO Position (vice PEO)?   **N**

Package forwarded to AIR-7.3 for Release to HRO

Package Forwarded to Cog PEO/CAO Admin Office for Release to HRO

Position Filled. PEO/CAO Admin Office Report Fill to AIR-7.1 via Bi-Weelly On-board Report